

ep 2763

PTO/SB/21 (12/97)

Approved for use through 9/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<h1>TRANSMITTAL FORM</h1> <p>(to be used for all correspondence after initial filing)</p>		Application Number	09/183,732	
		Filing Date	October 30, 1998	
		First Named Inventor	Christopher D. Williams	
		Group Art Unit	2763	
		Examiner Name	Not Yet Assigned	
Total Number of Pages in This Submission		14	Attorney Docket Number	042390.P6485

MAR 13 2000

GROUP 2700  
MAR 15 2000

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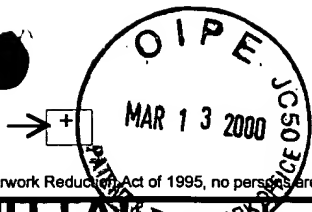
ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form  <input checked="" type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition  <input type="checkbox"/> To Convert a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Small Entity Statement  <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 5px;">         1. Copies of seven (7) cited references.          2. Return receipt postcard       </div>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Aloysius T.C. AuYeung, Reg. No. 35,432 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	3/8/00

CERTIFICATE OF MAILING/TRANSMISSION			
I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:			
			March 9, 2000
Typed or printed name	Michelle J. Turner		
Signature		Date	03/09/00

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PTO/SB/17 (6/99)  
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# FEE TRANSMITTAL for FY 1999

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

Complete if Known

Application Number 09/183,732  
Filing Date October 30, 1998  
First Named Inventor Christopher D. Williams  
Examiner Name Not Yet Assigned  
Group/Art Unit 2763  
Attorney Docket Number 042390:P6485

TOTAL AMOUNT OF PAYMENT (\$)

## METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees to:
2. ☐ The Commissioner is hereby authorized to credit any over payments to:

Deposit  
Account  
Number

02-2666

Deposit  
Account  
Name

Blakely, Sokoloff, Taylor & Zafman LLP

☒ Charge Any Additional Fees Required Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.

2. ☐ Payment Enclosed:  
☐ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	690	201	345	Utility filing fee	
106	310	206	155	Design filing fee	
107	480	207	240	Plant filing fee	
108	690	208	345	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$)

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims			
Multiple Dependent			

\*or number previously paid, if greater, For Reissues, see below

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	78	202	39	Independent claims in excess of 3
104	260	204	130	Multiple Dependent claim, if not paid
109	78	209	39	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
105	130	205	65	Surcharge - late filing fee or oath
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.
139	130	139	130	Non-English specification
147	2,520	147	2,520	For filing a request for reexamination
112	920*	112	920*	Requesting publication of SIR prior to Examiner action
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action
115	110	215	55	Extension for response within first month
116	380	216	190	Extension for response within second month
117	870	217	435	Extension for response within third month
118	1,210	218	680	Extension for response within fourth month
128	1,850	228	925	Extension for response within fifth month
119	300	219	150	Notice of Appeal
120	300	220	150	Filing a brief in support of an appeal
121	260	221	130	Request for oral hearing
138	1,510	138	1510	Petition to institute a public use proceeding
140	110	240	55	Petition to revive - unavoidable
141	1,210	241	605	Petition to revive - unintentional
142	1,210	242	605	Utility issue fee (or reissue)
143	430	243	215	Design issue fee
144	580	244	290	Plant issue fee
122	130	122	130	Petitions to the Commissioner
123	50	123	50	Petitions related to provisional applications
126	240	126	240	Submission of Information Disclosure Stmt
581	40	581	40	Recording each patent assignment per property (times number of properties)
146	790	246	395	Filing a submission after final rejection (37 CFR 1.129(a))
149	790	249	395	For each additional invention to be examined (37 CFR 1.129(b))

Other fee (specify) \_\_\_\_\_  
Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$)

## SUBMITTED BY

Typed or Printed Name Aloysius T.C. AuYeung

Signature

Date

3/8/2000

Complete (if applicable)

Reg. Number 35,432

Deposit Account User ID 02-2666

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MAR 15 2000  
GROUP 2700  
Fee Paid

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

CHRISTOPHER D. WILLIAMS, ET AL.

Application No.: 09/183,732

Filed: October 30, 1998

For: **METHOD AND APPARATUS FOR CHANNEL  
SURFING THROUGH MULTIPLE SOURCES  
BASED ON USER-DEFINABLE PREFERENCES**



Art Group: 2763

Examiner: Not Yet Assigned

GROUP 2700

MAR 15 2000

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INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

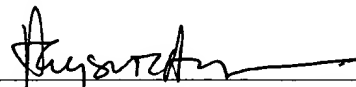
Pursuant to Rule 1.97(b), Applicants desire to make of record the references set forth on the attached Form PTO-1449 which were cited in a search report dated 24 February 2000 of the corresponding PCT/US99/25429 application. Enclosed is a copy of the search report which indicates the degree of relevance found by the foreign office where documents cited as category X are deemed relevant when taken alone; documents cited as category Y are deemed relevant when taken in combination with another reference; documents cited as category T are directed to the theory or principle underlying the invention; and documents cited as category A are deemed relevant as technological background defining the general state of the art. Copies of these references are submitted herewith.

It is hereby stated that this Information Disclosure Statement is being filed within three months from mailing of the international search report, therefore no petition or fee is required. However, in the event a petition is needed for consideration of this Information Disclosure Statement, Applicants hereby so petition. Please charge any additional fee due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

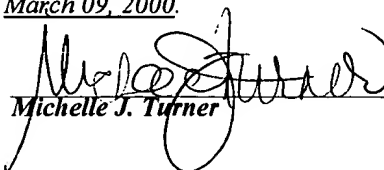
Date: March 09, 2000

  
Aloysius T.C. AuYeung, Reg. No. 35,432

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Los Angeles, California 90025  
Telephone: (503) 684-6200

**CERTIFICATE OF MAILING**

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Michelle J. Turner

03/09/00  
Date